	<b>SELF-ASSESSMENT</b>	Doc. No.: PMP 2.09 Revision: 0 Eff. Date: 7/19/02 Page: 1 of 8 DAR No.: NSNF-415
--	------------------------	--

Approval: Original Signed by Mark Arenaz <hr/> Manager, National Spent Nuclear Fuel Program	Date: 07/18/02 <hr/>
Approval: Original Signed by Robert Blyth <hr/> NSNFP Quality Assurance Program Manager	Date: 07/18/02 <hr/>

## I. PURPOSE AND SCOPE

This procedure provides a mechanism internal to the National Spent Nuclear Fuel Program (NSNFP) to evaluate NSNFP activities and to identify opportunities for improvement. The procedure applies to a range of management systems and NSNFP activities, including but not limited to *technical work* (see glossary) and quality assurance (QA) program implementation. The process focuses on preventing the introduction of errors or inefficiencies during the performance of NSNFP work.

The evaluation process described by this procedure combines the detection of incomplete or inappropriately implemented management systems, the identification and implementation status of applicable lessons learned, and the recognition of good work practices to provide information for use by NSNFP management to improve the performance of NSNFP work.

Self-assessments are performed in addition to scheduled QA Program audits and QA surveillances when requested by NSNFP management.

## II. SUMMARY

NSNFP management identifies a self-assessment topic or selects a topic from Attachment A. Assigned NSNFP personnel plan the self-assessment through interaction with requesting member of NSNFP management and perform the self-assessment. The results of the self-assessment are reported to the requesting NSNFP management, and a course of action is established (Attachment B). The course of action may include no action, rework of the activity, the elevation of the identified condition to the corrective action system for further evaluation, the creation and dissemination of a NSNFP lessons learned document (Attachment C), or the implementation of a good practice by incorporating the practice in NSNFP administrative processes.


## III. PROCEDURE

### A. Initiating a Self-Assessment

- |                  |   |
|------------------|---|
| NSNFP Management | 1. Identify a self-assessment topic or select a topic from Attachment A |
|                  | 2. Assign NSNFP personnel to plan and perform a self-assessment         |

### B. Planning and Performing a Self-Assessment

- |                 |  |
|-----------------|--|
| NSNFP Personnel | 1. Interact with NSNFP management to plan a self-assessment. |
|-----------------|--|

	<b>SELF-ASSESSMENT</b>	Doc. No.: PMP 2.09 Revision: 0 Eff. Date: 7/19/02 Page: 2 of 8 DAR No.: NSNF-415
--	------------------------	--

2. Perform the planned self-assessment.
3. Report the results of the self-assessment to NSNFP per Attachment B.

#### **C. Determining a Course of Action For Reported Self-Assessment Results**

- |                     |  |
|---------------------|--|
| NSNFP<br>Management | <ol style="list-style-type: none"> <li>1. Review the reported results of self-assessments.</li> <li>2. Using Attachment B, assign and communicate one of the following courses of action. <ol style="list-style-type: none"> <li>a. Assign no action.</li> <li>b. Assign NSNFP personnel to rework the conditions.</li> <li>c. Send to NSNFP QAS for further evaluation according to QAS 16.02.</li> <li>d. Assign NSNFP personnel to develop a lessons learned report for dissemination according to Attachment C.</li> <li>e. Assign NSNFP personnel to create a NSNFP procedure change according to Program Management Procedure 5.01.</li> </ol> </li> </ol> |
|---------------------|--|

## **IV. REFERENCES**

None.

## **V. DEFINITIONS**


Terms appearing in italics followed by the notation “see glossary” are defined in the NSNFP Documents Manual Introduction and Glossary.

## **VI. ATTACHMENTS**

Attachment A, Self-Assessment Topics

Attachment B, Self-Assessment Report (Example)

Attachment C, Lesson Learned Document Format (Example)

	<b>SELF-ASSESSMENT</b>	Doc. No.: PMP 2.09 Revision: 0 Eff. Date: 7/19/02 Page: 3 of 8 DAR No.: NSNF-415
--	------------------------	--

## VII. RECORDS

The following records generated as a result of this procedure require retention in accordance with the identified classification and Program Management Procedure 17.01.

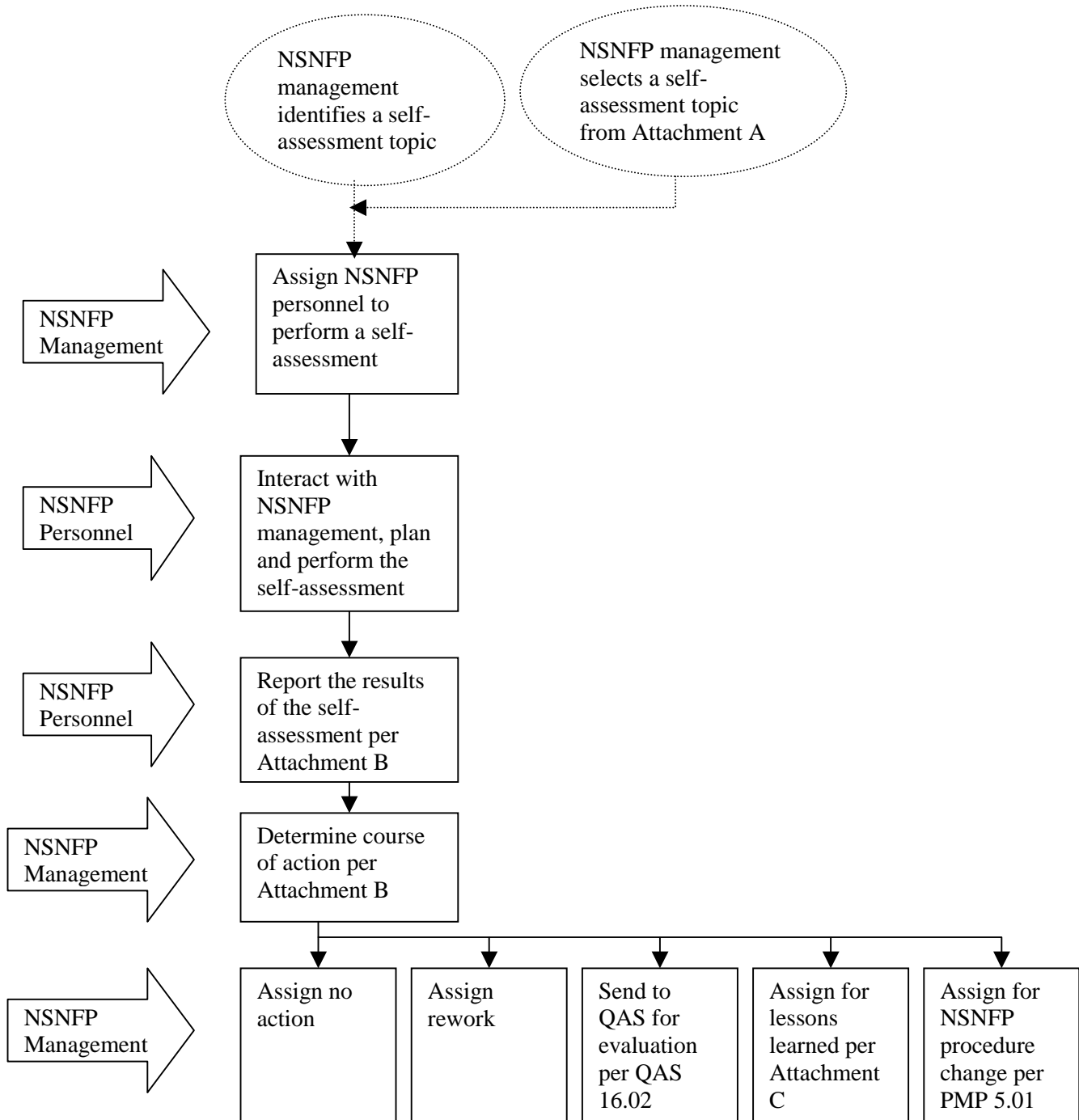
Lifetime:

None.

Nonpermanent:

None.

## VIII. PROCEDURE FLOW DIAGRAM



	<b>SELF-ASSESSMENT</b>	Doc. No.: PMP 2.09 Revision: 0 Eff. Date: 7/19/02 Page: 5 of 8 DAR No.: NSNF-415
--	------------------------	--

## Attachment A

### Self-Assessment Topics


Topic/Performance Objectives/Criteria	Requirement
<p><b>Topic:</b> Engineering Design Files (EDFs)</p> <p><b>Criteria:</b> EDFs are used to document information and data in accordance with NSNFP Procedures</p> <p><b>Performance Objective:</b> A defensible record is created to support NSNFP engineering work.</p>	<b>PSO 3.04</b>
<p><b>Topic:</b> Incorporation of Lessons Learned into NSNFP work</p> <p><b>Criteria:</b> Applicable lessons learned have been appropriately identified, posted, and incorporated into NSNFP work.</p> <p>Periodically review the following sources for information applicable to NSNFP:</p> <p>Final occurrence reports</p> <p>DOE LL Information System</p> <p>NRC Bulletins and Notices</p> <p>DOE Office of Nuclear and Facility Safety Operations</p> <p>Experience Weekly Summary</p> <p>DOE Safety and Health Connection</p> <p>Environmental Safety and Health Synergy</p> <p><b>Performance Objective:</b> A review of lessons learned indicates that appropriate lessons learned have been posted on the NSNFP Homepage and, as applicable, incorporated into NSNFP work.</p>	<b>None</b>
<p><b>Topic:</b> Implementation of Task Management Agreements or Statements of Work</p> <p><b>Criteria:</b> Implementation of Task Management Agreements or Statements of Work is occurring consistent with the milestones established by the PSO 4.02 documentation and consistent with PSO 2.05 planning documentation.</p> <p><b>Performance Objective:</b> Implementation progress is consistent with the formal planning</p>	<b>PSO 4.02, PSO 2.05</b>



## SELF-ASSESSMENT


Doc. No.: PMP 2.09  
Revision: 0  
Eff. Date: 7/19/02  
Page: 6 of 8  
DAR No.: NSNF-415

Topic/Performance Objectives/Criteria	Requirement
<p><b>Topic:</b> Collection of QA Records</p> <p><b>Criteria:</b> QA records are to be developed in accordance with NSNFP procedures and collected in accordance with NSNFP procedure PMP 17.01</p> <p><b>Performance Objective:</b> Closure status of Document Action Requests indicates timely and complete collection of required records.</p>	<p><b>PMP 17.01, PMP 6.01, PMP 6.04</b></p>
<p><b>Topic:</b> Training and, as applicable, verification of personnel experience.</p> <p><b>Criteria:</b> Prior to performing work activities described by NSNFP Procedures, NSNFP personnel must have completed the required training and, as applicable, NSNFP must have verified personnel experience.</p> <p><b>Performance Objective:</b> Training status is routinely reported to management and delinquencies resolved.</p>	<p><b>PMP 2.04, PMP 2.08, PMP 6.01, PMP 6.04</b></p>
<p><b>Topic:</b> Product acceptance is documented for products provided by Government Sector Suppliers.</p> <p><b>Criteria:</b> Deliverables received in accordance with Task Management Agreements or Statements of Work (PSO 4.02) are reviewed for acceptance. A formal review or test of supplier deliverables is performed and documented as stipulated.</p> <p><b>Performance Objective:</b> Deliverables are accepted prior to use</p>	<p><b>PSO 7.03, PSO 4.02</b></p>
<p><b>Topic:</b> Supplier audits and surveillances are scheduled and performed to support NSNFP Planning.</p> <p><b>Criteria:</b> Supplier audits and surveillances planned per PSO 2.05 are conducted commensurate with the progress of the tasks.</p> <p><b>Performance Objective:</b> Supplier qualifications are confirmed on time.</p>	<p><b>PSO 2.05, QAS 18.01</b></p>
<p><b>Topic:</b> TBD</p> <p><b>Criteria:</b> TBD</p> <p><b>Performance Objective:</b> TBD</p>	<p><b>TBD</b></p>

	<b>SELF-ASSESSMENT</b>	Doc. No.: PMP 2.09 Revision: 0 Eff. Date: 7/19/02 Page: 7 of 8 DAR No.: NSNF-415
--	------------------------	--

## Attachment B Self-Assessment Report

Page __ of __		
<b>NSNFP Self-Assessment Report</b>		
<b>Topic:</b>		
<b>Criteria:</b>		
<b>Performance Objective:</b>		
<b>Tasks Or Activities Reviewed:</b>		
<b>Dates Self-Assessment Performed:</b>		
<b>Results of the Self-Assessment:</b>		
<b>Performer:</b>		
<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="width: 33%; border-bottom: 1px solid black;"></div> <div style="width: 33%; border-bottom: 1px solid black; text-align: center;">/</div> <div style="width: 33%; border-bottom: 1px solid black;"></div> </div>		
<b>Printed Name</b>	<b>Signature</b>	<b>Date</b>
<b>Manager's selected course of action:</b>		
<b>Manager:</b>		
<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="width: 33%; border-bottom: 1px solid black;"></div> <div style="width: 33%; border-bottom: 1px solid black; text-align: center;">/</div> <div style="width: 33%; border-bottom: 1px solid black;"></div> </div>		
<b>Printed Name</b>	<b>Signature</b>	<b>Date</b>
<b>Distribution:</b>		

	<b>SELF-ASSESSMENT</b>	Doc. No.: PMP 2.09 Revision: 0 Eff. Date: 7/19/02 Page: 8 of 8 DAR No.: NSNF-415
--	------------------------	--

## Attachment C

### Lesson Learned Document Format

**Assigned Title:**

**Doc. Control Identifier:** (Optional)

**Functional Areas (Lesson Learned Applicability):**

**Keywords (to support searches):**

**Sources and References:**

**Lesson Learned Summary Description:**

**Discussion of Lesson Learned (Facts, circumstances, activities surrounding the discovery):**

**Analysis of Events Leading Up to the Problem (if available):**

**Recommended NSNFP Action to Incorporate the Lessons Learned:**

**Distribution:** (Disseminate to NSNFP personnel, and/or post to NSNFP homepage, and/or complexwide dissemination to DOE and contractor organizations)

**Manager's Concurrence:**

**Name Printed** \_\_\_\_\_ **Signature** \_\_\_\_\_ **/Date** \_\_\_\_\_